

CONFIDENTIAL
Attorney-Client Communication



California Public Employees' Retirement System

2003
Board Evaluation Survey

Return Completed Forms to:

Peter Mixon, General Counsel
400 P Street, Room 3340
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Please return by
March 31, 2004

PART I. SELF-ASSESSMENT Assessment of my personal performance as a member of the CalPERS Board

Circle Appropriate Number
(1 = Poor; 2 = Fair; 3 = Good; or 4 = Excellent)

Do I...? Am I...?

	P	F	G	E
1. REGULARLY ATTEND BOARD AND COMMITTEE MEETINGS AND WORKSHOPS	1	2	3	4
2. PREPARE IN ADVANCE FOR BOARD AND COMMITTEE MEETINGS AND WORKSHOPS	1	2	3	4
3. FAMILIAR WITH ISSUES FACING PUBLIC PENSION FUNDS IN CALIFORNIA, NATIONALLY, AND INTERNATIONALLY	1	2	3	4
4. FAMILIAR WITH CALPERS' KEY STRATEGIC GOALS AND PERFORMANCE MEASURES	1	2	3	4
5. ACTIVELY PARTICIPATE IN DISCUSSIONS AT BOARD AND COMMITTEE MEETINGS AND WORKSHOPS	1	2	3	4
6. SEEK AND CONSIDER OTHER VIEWPOINTS (BOARD MEMBERS, STAFF AND INTERESTED THIRD PARTIES), BEFORE REACHING MY OWN DECISION	1	2	3	4
7. COMMUNICATE MY OPINIONS AND CONCERNS IN A PERSUASIVE YET CLEAR AND CONCISE MANNER	1	2	3	4
8. MAKE SUGGESTIONS ABOUT CALPERS' STRATEGIC DIRECTIONS, INNOVATIONS AND PLANNING	1	2	3	4
9. CONSTRUCTIVELY CONFRONT CONFLICT AMONG BOARD MEMBERS	1	2	3	4
10. PLACE THE INTERESTS OF CALPERS AND ITS PARTICIPANTS ABOVE ALL OTHER INTERESTS	1	2	3	4
11. SEEK THE SUPPORT OF CALPERS CONSTITUENTS AND STAKEHOLDERS FOR OBJECTIVES AND DECISIONS REACHED BY THE BOARD	1	2	3	4
12. RECOGNIZE WHEN THE INTERESTS OF CALPERS' MEMBERSHIP GROUPS MAY CONFLICT, AND TAKE CARE TO MAKE OBJECTIVE DECISIONS WITHOUT FAVORING ONE GROUP OVER ANOTHER	1	2	3	4
13. FAMILIAR WITH AND UPHOLD THE FOLLOWING BOARD POLICIES:				
A. <u>GOVERNANCE PRINCIPLES, IN PARTICULAR</u>				
I. MONITOR STAFF PERFORMANCE, AND REGULARLY COMPARE RESULTS TO CALPERS' MISSION, STRATEGIC PLAN, ANNUAL PLAN, AND PERFORMANCE MEASURES	1	2	3	4
II. EXCEPT AS REQUESTED BY THE CEO, REFRAIN FROM BECOMING INVOLVED IN OPERATIONAL ISSUES	1	2	3	4
III. ACHIEVE A GOVERNING STYLE THAT EMPHASIZES STRATEGIC LEADERSHIP AND PARTNERSHIP WITH MANAGEMENT; UNDERSTAND THE DIFFERENCE BETWEEN GOVERNING AND MANAGING	1	2	3	4
IV. CONDUCT MYSELF AT ALL TIMES IN A COLLEGIAL AND CIVIL MANNER	1	2	3	4

PART I. SELF-ASSESSMENT (continued)

Circle Appropriate Number
(1 = Poor; 2 = Fair; 3 = Good; or 4 = Excellent)

Do I...? Am I...?

	P	F	G	E
B. <u>CODE OF ETHICS:</u>				
I. MAINTAIN HIGH ETHICAL CONDUCT	1	2	3	4
II. EXERCISE CARE IN HANDLING AND MAINTAINING CONFIDENTIAL INFORMATION	1	2	3	4
III. COMPLY WITH ALL CONFLICTS AND DISCLOSURE LAWS THAT APPLY TO CALPERS BOARD MEMBERS	1	2	3	4
C. <u>TRAVEL POLICY:</u>				
I. TIMELY SUBMIT OUT-OF-STATE SUMMARY TRAVEL REPORTS	1	2	3	4
II. TIMELY SUBMIT TRAVEL EXPENSE CLAIMS	1	2	3	4
D. <u>CORE VALUES:</u>				
I. QUALITY – STRIVE TO MEET INTERNAL AND EXTERNAL CUSTOMER’S NEEDS THROUGH INNOVATION, COMPETENCE, AND TEAMWORK. SEEK TO “DO IT RIGHT” THE FIRST TIME	1	2	3	4
II. RESPECT – SENSITIVE TO THE NEEDS OF OTHERS, BOTH WITHIN AND OUTSIDE THE ORGANIZATION. COURTEOUS, CONSIDERATE, RESPONSIVE, AND PROFESSIONAL	1	2	3	4
III. INTEGRITY – IN ALL ENDEAVORS, ACT IN AN ETHICAL, HONEST, AND PROFESSIONAL MANNER	1	2	3	4
IV. OPENNESS - WILLING TO LISTEN TO, AND SHARE INFORMATION WITH, OTHERS. RECEPTIVE TO NEW IDEAS. TRUSTING	1	2	3	4
V. ACCOUNTABILITY – TAKE OWNERSHIP AND RESPONSIBILITY FOR ACTIONS AND THEIR RESULTS. ACCEPT BOTH RISKS AND REWARDS, TRUSTING THAT GOOD FAITH RISKS WILL NOT BE PUNISHED	1	2	3	4
E. <u>MEDIA POLICY:</u>				
I. EXCEPT WHERE OTHERWISE AUTHORIZED, TAKE CARE TO SPEAK ON INDIVIDUAL BASIS AND NOT ON BEHALF OF THE BOARD	1	2	3	4
II. COORDINATE MEDIA CONTACT WITH BOARD PRESIDENT, CHIEF EXECUTIVE OFFICER, OR PUBLIC AFFAIRS OFFICE	1	2	3	4

PART II. PEER REVIEWAssessment of the performance of other members of the CalPERS Board (including designated alternates)**Circle Appropriate Number**

(0 = Don't Know or no opinion; 1 = Poor; 2 = Fair; 3 = Good; or 4 = Excellent)

Do my colleagues . . . ? Are my colleagues . . . ?**DK P F G E**

14. REGULARLY ATTEND BOARD AND COMMITTEE MEETINGS AND WORKSHOPS	0	1	2	3	4
15. PREPARE IN ADVANCE FOR BOARD AND COMMITTEE MEETINGS AND WORKSHOPS	0	1	2	3	4
16. FAMILIAR WITH ISSUES FACING PUBLIC PENSION FUNDS IN CALIFORNIA, NATIONALLY, AND INTERNATIONALLY	0	1	2	3	4
17. FAMILIAR WITH CALPERS' KEY STRATEGIC GOALS AND PERFORMANCE MEASURES	0	1	2	3	4
18. ACTIVELY PARTICIPATE IN DISCUSSIONS AT BOARD AND COMMITTEE MEETINGS AND WORKSHOPS	0	1	2	3	4
19. SEEK AND CONSIDER OTHER VIEWPOINTS (BOARD MEMBERS, STAFF AND INTERESTED THIRD PARTIES), BEFORE REACHING MY OWN DECISIONS	0	1	2	3	4
20. COMMUNICATE OPINIONS AND CONCERNS IN A PERSUASIVE YET CLEAR AND CONCISE MANNER	0	1	2	3	4
21. BRING TO THE BOARD SKILLS, STRENGTHS, EXPERIENCES AND JUDGMENT THAT CONTRIBUTE TO THE BOARD'S DECISION-MAKING PROCESS	0	1	2	3	4
22. MAKE SUGGESTIONS ABOUT CALPERS' STRATEGIC DIRECTIONS, INNOVATIONS AND PLANNING	0	1	2	3	4
23. CONSTRUCTIVELY CONFRONT CONFLICT AMONG BOARD MEMBERS	0	1	2	3	4
24. PLACE THE INTERESTS OF CALPERS AND ITS PARTICIPANTS ABOVE ALL OTHER INTERESTS	0	1	2	3	4
25. SEEK THE SUPPORT OF CALPERS CONSTITUENTS AND STAKEHOLDERS FOR OBJECTIVES AND DECISIONS REACHED BY THE BOARD.	0	1	2	3	4
26. RECOGNIZE WHEN THE INTERESTS OF CALPERS' MEMBERSHIP GROUPS MAY CONFLICT, AND TAKE CARE TO MAKE OBJECTIVE DECISIONS WITHOUT FAVORING ONE GROUP OVER ANOTHER	0	1	2	3	4
27. FAMILIAR WITH AND UPHOLD THE FOLLOWING BOARD POLICIES:					
A. <u>GOVERNANCE PRINCIPLES, IN PARTICULAR:</u>					
I. MONITOR STAFF PERFORMANCE, AND REGULARLY COMPARE RESULTS TO CALPERS' MISSION, STRATEGIC PLAN, ANNUAL PLAN, AND PERFORMANCE MEASURES	0	1	2	3	4
II. REFRAIN FROM BECOMING INVOLVED IN OPERATIONAL ISSUES, EXCEPT AS REQUESTED BY THE CEO	0	1	2	3	4
III. ACHIEVE A GOVERNING STYLE THAT EMPHASIZES STRATEGIC LEADERSHIP AND PARTNERSHIP WITH MANAGEMENT; UNDERSTAND THE DIFFERENCE BETWEEN GOVERNING AND MANAGING	0	1	2	3	4
IV. CONDUCT THEMSELVES AT ALL TIMES IN A COLLEGIAL AND CIVIL MANNER	0	1	2	3	4

PART II. PEER REVIEW (continued)

Circle Appropriate Number

(0 = Don't Know or no opinion; 1 = Poor; 2 = Fair; 3 = Good; or 4 = Excellent)

Do my colleagues ...? Are my colleagues ...?

DK P F G E

B. CODE OF ETHICS:						
I.	MAINTAIN HIGH ETHICAL CONDUCT	0	1	2	3	4
II.	EXERCISE CARE IN HANDLING AND MAINTAINING CONFIDENTIAL INFORMATION	0	1	2	3	4
III.	COMPLY WITH ALL CONFLICTS AND DISCLOSURE LAWS THAT APPLY TO CALPERS BOARD MEMBERS	0	1	2	3	4
C. CORE VALUES:						
I.	QUALITY - STRIVE TO MEET INTERNAL AND EXTERNAL CUSTOMER'S NEEDS THROUGH INNOVATION, COMPETENCE, AND TEAMWORK. SEEK TO "DO IT RIGHT" THE FIRST TIME	0	1	2	3	4
II.	RESPECT - SENSITIVE TO THE NEEDS OF OTHERS, BOTH WITHIN AND OUTSIDE THE ORGANIZATION. COURTEOUS, CONSIDERATE, RESPONSIVE, AND PROFESSIONAL	0	1	2	3	4
III.	INTEGRITY - IN ALL ENDEAVORS, ACT IN AN ETHICAL, HONEST, AND PROFESSIONAL MANNER	0	1	2	3	4
IV.	OPENNESS – WILLING TO LISTEN TO, AND SHARE INFORMATION WITH, OTHERS. RECEPTIVE TO NEW IDEAS. TRUSTING	0	1	2	3	4
V.	ACCOUNTABILITY - TAKE OWNERSHIP AND RESPONSIBILITY FOR ACTIONS AND THEIR RESULTS. ACCEPT BOTH RISKS AND REWARDS, TRUSTING THAT GOOD FAITH RISKS WILL NOT BE PUNISHED	0	1	2	3	4
D. MEDIA POLICY:						
I.	EXCEPT WHERE OTHERWISE AUTHORIZED, TAKE CARE TO SPEAK ON INDIVIDUAL BASIS AND NOT ON BEHALF OF THE BOARD	0	1	2	3	4
II.	COORDINATE MEDIA CONTACT WITH BOARD PRESIDENT, CHIEF EXECUTIVE OFFICER, OR PUBLIC AFFAIRS OFFICE	0	1	2	3	4

PART III. ORGANIZATION AND PROCEDURES

Circle Appropriate Number

(0 = Don't Know or no opinion; 1 = Strongly Disagree; 2 = Disagree; 3 = Agree; or 4 = Strongly Agree)

	DK	SD	D	A	SA
28. THE SELECTION PROCEDURE FOR BOARD PRESIDENT AND VICE PRESIDENT IS SOUND	0	1	2	3	4
29. THE SELECTION PROCEDURE FOR COMMITTEE CHAIRS AND VICE CHAIRS IS SOUND	0	1	2	3	4
30. THE AUTHORITY AND RESPONSIBILITIES OF THE PRESIDENT AND VICE PRESIDENT ARE CLEARLY DEFINED AND UNDERSTOOD	0	1	2	3	4
31. THE AUTHORITY AND RESPONSIBILITIES OF THE CEO ARE CLEARLY DELEGATED AND UNDERSTOOD	0	1	2	3	4
32. THE RELATIONSHIP BETWEEN THE BOARD AND STAFF, IN TERMS OF DELEGATION OF AUTHORITY AND LEVEL OF OVERSIGHT, IS APPROPRIATE AND EFFECTIVE	0	1	2	3	4
33. THE BOARD:					
A. AGENDAS ARE DEVELOPED WITH APPROPRIATE INPUT FROM BOARD MEMBERS	0	1	2	3	4
B. TOPICS FOR DISCUSSION ARE CLEARLY AND SPECIFICALLY DESCRIBED IN THE AGENDA AND ACCOMPANYING MATERIALS	0	1	2	3	4
C. MEETINGS ARE ORGANIZED AND CONDUCTED EFFECTIVELY	0	1	2	3	4
D. DISCUSSIONS ARE FOCUSED TOWARD STRATEGIC ISSUES AND PRIORITIES, OR APPROPRIATE OVERSIGHT	0	1	2	3	4
E. WRITTEN MATERIALS ARE ACCURATE AND COMPLETE	0	1	2	3	4
F. WRITTEN MATERIALS ARE RECEIVED IN A TIMELY MANNER	0	1	2	3	4
34. THE INVESTMENT COMMITTEE:					
A. AGENDAS ARE DEVELOPED WITH APPROPRIATE INPUT FROM BOARD MEMBERS	0	1	2	3	4
B. TOPICS FOR DISCUSSION ARE CLEARLY AND SPECIFICALLY DESCRIBED IN THE AGENDA AND ACCOMPANYING MATERIALS	0	1	2	3	4
C. MEETINGS ARE ORGANIZED AND CONDUCTED EFFECTIVELY	0	1	2	3	4
D. DISCUSSIONS ARE FOCUSED TOWARD STRATEGIC ISSUES AND PRIORITIES, OR APPROPRIATE OVERSIGHT	0	1	2	3	4
E. WRITTEN MATERIALS ARE ACCURATE AND COMPLETE	0	1	2	3	4
F. WRITTEN MATERIALS ARE RECEIVED IN A TIMELY MANNER	0	1	2	3	4

PART III. ORGANIZATION AND PROCEDURES (continued)

Circle Appropriate Number

(0 = Don't Know or no opinion; 1 = Strongly Disagree; 2 = Disagree; 3 = Agree; or 4 = Strongly Agree)

	DK	SD	D	A	SA
35. THE FINANCE COMMITTEE:					
A. AGENDAS ARE DEVELOPED WITH APPROPRIATE INPUT FROM BOARD MEMBERS	0	1	2	3	4
B. TOPICS FOR DISCUSSION ARE CLEARLY AND SPECIFICALLY DESCRIBED IN THE AGENDA AND ACCOMPANYING MATERIALS	0	1	2	3	4
C. MEETINGS ARE ORGANIZED AND CONDUCTED EFFECTIVELY	0	1	2	3	4
D. DISCUSSIONS ARE FOCUSED TOWARD STRATEGIC ISSUES AND PRIORITIES, OR APPROPRIATE OVERSIGHT	0	1	2	3	4
E. WRITTEN MATERIALS ARE ACCURATE AND COMPLETE	0	1	2	3	4
F. WRITTEN MATERIALS ARE RECEIVED IN A TIMELY MANNER	0	1	2	3	4
36. THE BENEFITS AND PROGRAM ADMINISTRATION COMMITTEE:					
A. AGENDAS ARE DEVELOPED WITH APPROPRIATE INPUT FROM BOARD MEMBERS	0	1	2	3	4
B. TOPICS FOR DISCUSSION ARE CLEARLY AND SPECIFICALLY DESCRIBED IN THE AGENDA AND ACCOMPANYING MATERIALS	0	1	2	3	4
C. MEETINGS ARE ORGANIZED AND CONDUCTED EFFECTIVELY	0	1	2	3	4
D. DISCUSSIONS ARE FOCUSED TOWARD STRATEGIC ISSUES AND PRIORITIES, OR APPROPRIATE OVERSIGHT	0	1	2	3	4
E. WRITTEN MATERIALS ARE ACCURATE AND COMPLETE	0	1	2	3	4
F. WRITTEN MATERIALS ARE RECEIVED IN A TIMELY MANNER	0	1	2	3	4
37. THE HEALTH BENEFITS COMMITTEE:					
A. AGENDAS ARE DEVELOPED WITH APPROPRIATE INPUT FROM BOARD MEMBERS	0	1	2	3	4
B. TOPICS FOR DISCUSSION ARE CLEARLY AND SPECIFICALLY DESCRIBED IN THE AGENDA AND ACCOMPANYING MATERIALS	0	1	2	3	4
C. MEETINGS ARE ORGANIZED AND CONDUCTED EFFECTIVELY	0	1	2	3	4
D. DISCUSSIONS ARE FOCUSED TOWARD STRATEGIC ISSUES AND PRIORITIES, OR APPROPRIATE OVERSIGHT	0	1	2	3	4
E. WRITTEN MATERIALS ARE ACCURATE AND COMPLETE	0	1	2	3	4
F. WRITTEN MATERIALS ARE RECEIVED IN A TIMELY MANNER	0	1	2	3	4

PART III. ORGANIZATION AND PROCEDURES (continued)**Circle Appropriate Number**

(0 = Don't Know or no opinion; 1 = Strongly Disagree; 2 = Disagree; 3 = Agree; or 4 = Strongly Agree)

	DK	SD	D	A	SA
38. THE PERFORMANCE AND COMPENSATION COMMITTEE:					
A. AGENDAS ARE DEVELOPED WITH APPROPRIATE INPUT FROM BOARD MEMBERS	0	1	2	3	4
B. TOPICS FOR DISCUSSION ARE CLEARLY AND SPECIFICALLY DESCRIBED IN THE AGENDA AND ACCOMPANYING MATERIALS	0	1	2	3	4
C. MEETINGS ARE ORGANIZED AND CONDUCTED EFFECTIVELY	0	1	2	3	4
D. DISCUSSIONS ARE FOCUSED TOWARD STRATEGIC ISSUES AND PRIORITIES, OR APPROPRIATE OVERSIGHT	0	1	2	3	4
E. WRITTEN MATERIALS ARE ACCURATE AND COMPLETE	0	1	2	3	4
F. WRITTEN MATERIALS ARE RECEIVED IN A TIMELY MANNER	0	1	2	3	4
39. THE BOARD HAS AN EFFECTIVE PROCESS FOR ORIENTING NEW MEMBERS	0	1	2	3	4
40. THE BOARD HAS AN EFFECTIVE MECHANISM FOR MONITORING AND EVALUATING ITS OWN PERFORMANCE	0	1	2	3	4

Please return completed form to Peter Mixon
in the attached self-addressed, stamped envelope
by March 31, 2004.